

09/857636 **U.S. NATIONAL STAGE WORKSHEET (DO/EO)**

U.S. APPL. NO. _____

INTERNATIONAL APPL. EP99/09660

APPLICATION FILED BY: 20 MOS., _____ OR 30 MOS., _____

SCREENED BY C. BURT

INTERNATIONAL APPLICATION PAPERS IN THE APPLICATION FILE:

☒ International application
☒ Article 19 amendments
☒ Priority Document(s) No. 2
☒ Request Form PCT/RO/101
☐ PCT/IB/302
☐ PCT/IB/304
☐ PCT/IB/306
☐ PCT/IB/308
☐ PCT/IB/331
☐ OTHER PCT/IB/_____
☒ PCT/IPEA/409 also 416

☐ 409 annexes to IPER
☒ PCT/ISA/210 (Search report)
☒ Search report References
☐ Other Papers filed

WIPO PUBLICATION
PUBLICATION NO. WO 00/34331
PUBLICATION DATE 15 June 00
PUBLICATION LANG., English

NOT PUBLISHED

☐ U.S. only ☐ Requested

RECEIVED FROM THE APPLICANT: (other than checked above)

☒ National application basic fee paid
☒ Express Processing Requested
☒ Translation of the International Application
☒ Used the IB copy of the IA
☒ Description
☒ Claims
☒ Drawings
☐ Foreign Language in drawing
☐ Article 19 Amendments
☐ Amendment used in application
☐ Article 34 Amendment
☐ Amendment used in application
☒ DNA W/O
☒ 1994 transaction done
☒ Sequence listing

☒ Preliminary Amendment(s) filed 07 June 01
☐ second submission
☐ Information Disclosure Statement
☐ second submission
☐ Assignment
☐ Forward to Assignment Branch
☐ Substitute Specification
☐ Small Entity Statement
☐ type
☒ Oath/Declaration (date submitted 02 Nov 01)
☐ Not executed
☒ Executed
☐ Power of Attorney
☐ Change of Address
☒ Sequence letter W/O

35 USC Receipt of Request (PTO - 1399 Transmittal Letter)

Date Acceptable oath/declaration received

102(e) Date

Date complete 35 USC 371 requirements met

DATE NOTICE COMPLETED

DO/EO 903 Notice of Acceptance

DO/EO 905 Notice of Missing Requirements

DO/EO 917 Notice of A defective oath or declaration

DO/EO 916 Notice of defective response

DO/EO 913 Notice of defective translation

DO/EO 909 Notification of Abandonment

DO/EO 920 Notification Nucleotide Sequence

07 June 01
02 Nov 01

02 Nov 01
01 Apr 02
16 July 01



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/857636	DONG Z	00537-186002
INTERNATIONAL APPLICATION NO.		
PCT/EP99/09660		

JEFFREY D HSI
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I.A. FILING DATE	PRIORITY DATE
07 DEC 99	07 DEC 98

DATE MAILED: 19 JUL 2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):
- | | |
|--|---|
| <input checked="" type="checkbox"/> U.S. Basic National Fee. | <input type="checkbox"/> Indication of Small Entity Status. |
| <input checked="" type="checkbox"/> Copy of the international application. | <input type="checkbox"/> Translation of the international application into English. |
| <input type="checkbox"/> Oath or Declaration of inventors(s). | <input type="checkbox"/> Translation of Article 19 amendments into English. |
| <input type="checkbox"/> Copy of Article 19 amendments. | <input type="checkbox"/> Other: |
| <input checked="" type="checkbox"/> Priority Document. | |
| <input checked="" type="checkbox"/> The International Preliminary Examination Report in English and its Annexes, if any. | |
| <input type="checkbox"/> Translation of Annexes to the International Preliminary Examination Report into English. | |
2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.
- | | |
|---|---|
| <input type="checkbox"/> U.S. Basic National Fee. | <input type="checkbox"/> Copy of the international application. |
|---|---|
3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
- | | |
|--|--|
| <input type="checkbox"/> a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date. | <input type="checkbox"/> The current translation is defective for the reasons indicated on the attached Notice of Defective Translation. |
| <input type="checkbox"/> b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)). | |
| <input checked="" type="checkbox"/> c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date. | <input type="checkbox"/> The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917. |
| <input checked="" type="checkbox"/> d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)). | |
4. Additional claim fees of \$_____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.
5. ☒ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed: ☐ PCT/DO/EO/917
☐ PTO-875☐ Notice of Defective Translation
☒ PCT/DO/EO/920

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FORM PCT/DO/EO/905 (March 2001)